

RECAP 2002/2003: OECA Performance Measures: Table of Contents

Organization of RECAP 2000/2001	Area	
Section I	MOA Priority Measures	Our ability to track activities in MOA priority areas is greatly facilitated by fields in ICIS. ICIS requires that all enforcement activities be classified as either MOA priority, regional priority or core.
Section II	Compliance Assistance Measures (Outcomes and Outputs)	These measures include the traditional activity counts for compliance assistance activities such as workshops, outreach materials, trainings, and on-site visits as well as outcome measures. In FY 2003, the regions will be asked to conduct outcome measurement projects and to report the data in RCATs.
Section III	Compliance Incentives (Outcomes and Outputs)	The measures in this section track the outcomes of our audit policy and small business policy.

Section IV	Clean Air Act Measures: HPV measures, compliance monitoring, and enforcement outputs and outcomes.	This section captures our traditional media-specific HPV measures such as the universe of significant violators; addressing of HPVs; T &A as well as measures for duration and recidivism. New measures include those to reflect the new Compliance Monitoring Strategy and the Title V Certification Program.
Section V	Clean Water Act Measures (NPDES and Pretreatment); SNC measures; compliance monitoring; and enforcement outputs and outcomes.	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as the measures for duration and recidivism.
Section VI	Safe Drinking Water Measures; SNC, compliance monitoring; enforcement outputs and outcomes..	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; and T &A. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions. Enforcement Outcomes refer to the number of people served by the drinking water system that will be receiving cleaner drinking water as a result of our enforcement actions.

Section VII	Resource Conservation and Recovery Act Measures: SNC, compliance monitoring; enforcement outputs and outcomes	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as measures for duration and recidivism. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions.
Section VIII	TSCA Measures; compliance monitoring; enforcement outputs.	
Section IX	FIFRA	
Section X	EPCRA	
Section XI	Multi-Media Measures: compliance monitoring	This section contains compliance monitoring measures.
Section XI	Criminal Measures: enforcement outputs	This section contains criminal enforcement output measures.

Section XII	Federal Facilities Measures: compliance monitoring and enforcement outputs	This section highlights measures for specific compliance assurance activities at federal facilities.
APPENDIX	NPMS Performance Profile FY2002 Annual Performance Goals and Measures Case Conclusion Data Sheet Definitions and Case Conclusion Data Sheet Reporting Form	

Reporting Frequencies:

The approximate dates for mid-year and end-of-year reporting are April 15th and October 15th; however exact dates vary by program system and are included in the mid-year and end-of-year call memo distributed by the Enforcement, Planning and Targeting Division. However, the frequency of reporting is as follows:

Type of Measure	
Enforcement Outcomes (Section IV)	Annual (EOY)
SNC/HPV Measures (Sections V - VIII)	Semi- Annual

Type of Measure	Reporting Frequency
Compliance Monitoring Measures (Sections V - VIII) a. investigations b. citizen compliants c. inspections	Semi-Annual
Enforcement Output Measures (Sections V - VIII)	Semi-Annual
Compliance Assistance Measures (Section II)	Semi-Annual
Compliance Incentives Measures (Section III)	Semi-Annual
MOA Manual Measures	Varies by measure see Section One



Section VI: FY2002/2003 RECAP OECA Performance Measures: SDWA

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SDWA Microbial MOA Priority Measures: MOASDW1 - MOASDW7

SNC Measures: SNC: SNCSDWU - SNCSDW5

Compliance Monitoring Measures: SDWAINV - SDWAIN2

SDWA Enforcement Outcome Measures:

SDWA Enforcement Output Measures:

Federal SDWA NOV: EONOVSDW

Federal Consent Decree Tracking: EOCDSDW1 - EOCDSDW6

Federal Civil Case Initiations: EOCISDW1 - EOCISDW3

Federal Civil Case Conclusions: EOCCSDW1 - EOCCSDW5

State Enforcement Outputs: EOSSDW1 - EOSSDW2

SDWA Microbial MOA Measures				
Measure Code	Measure	Data Source	Database Fields	Reason for Measure
MOASDW1	<i>Population served by the drinking water system that will receive cleaner drinking water as a result of enforcement actions that address MCL or treatment technique violations.</i>	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Report name of pollutant and number of people served as amount.	OECA Management
MOASDW2	Number of systems that commit to undertake the following case conclusion complying actions as a result of enforcement for violation of TCR and SWTR requirements: testing, monitoring/sampling, record keeping, and reporting, public notice	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Select non-physical action types: labeling/manifesting/ registration. a) testing b) monitoring/sampling c) record keeping d) reporting	OECA Management

MOASDW3	1) # of SWTR systems in SNC; 2) # of SWTR SNCs resolved; 3) # of systems with TCR SNC status 4) statistically-valid compliance rate of systems in compliance with SWTR.	SDWIS 1) SW; SWP:GU; GUP 2) SNC Termination Status Codes: SE, SI, SU, SV, SW, SD, SX, EE, EI, EU, EW, ED	Status should be reported in SDWIS.	OECA Management
MOASDM4	# of Microbial Sanitary Surveys Conducted	Manual		OECA Management
MOASDM5	# of Microbial Enforcement Actions Initiated	ICIS	Activity Add Enforcement Action Screen.	OECA Management
MOASDM6	# of Microbial Enforcement Actions Concluded	ICIS	Activity Add Enforcement Action Conclusion Screen.	OECA Management
SDWA Microbial MOA Measures				
Measure Code	Measure	Data Source	Database Fields	
MOASDM7	# of Systems Reached through Compliance Assistance	RCATS		OECA Management

FY2002 RECAP Measures: SNC Measures: SDWA					
Measure Code	Measure	New Reporting	Data Source	Database Fields	Reason for Measure
Universe of SNC Measures ^{1, 2}					
SNCSDWU	# of Public Water Systems ³	None	SDWIS	Federal Type Code	OECA Management

¹Violation data is due into the Regional offices 45 days after the end of a calendar quarter and into SDWIS 60 days after the end of a quarter. Therefore, for example, data for the quarter ending 6/30 is due to the Regional office on 8/15 and to SDWIS on 9/1. The period from 9/1 - 9/30 should be used for checking the data input to make sure it is correct. Thus by 10/1 data from the quarter ending 6/30 should be ready to be used. Note that federal enforcement actions can be entered into SDWIS at any time and should not necessarily be one quarter lagged.

²The SDWA SNC rate is a system-based SNC rate. A public water system will be in SNC if it is in SNC for any underlying rule. For it to be in non-SNC status, all of the underlying SNC violations must have returned to compliance. The SNC universe is comprised of systems in SNC for Microbials (SWTR or TCR) and/or chemicals(including lead and copper).

³The number of PWSs will be pulled from SDWIS on or about October 1 for the preceding fiscal year (e.g., the number of PWSs will be pulled on or about 10/1/2000 for FY 2000). This will reflect inventory changes made through the last quarterly update. Update would have been due into SDWIS on 9/1 (60 days after the end of the calendar quarter) for the quarter ending 6/30.

FY2002 RECAP Measures: SNC Measures: SDWA					
Measure Code	Measure	New Reporting	Data Source	Database Fields	Reason for Measure
SNCSDW1	a.# and % of BOY ⁴ and added new systems ⁵ in SNC	None	SDWIS	SX, SE, SI, SD, SU SW, EX, EU, EW, ED, EI	OECA Management
SNCSDW2 ⁶	# and % of BOY and added SNC systems that are; a) resolved ⁷ b) unaddressed during the fiscal year c) unaddressed for more than one year; more than two years.	None	SDWIS	a. SE, SI, SD, SU, SW, EI, EU, EW, ED, EE b & c. SX, EX	OECA Management
SNC Timely and Appropriate					

⁴Beginning of year SNCs may be addressed but have not returned to compliance. The number of BOY SNCs will be pulled on or about 10/1. This will include all new SNCs and all exceptions existing as of this date. SNCs will then be pulled on or about 1/1, and 4/1 and 7/1. These SNCs will be added to those existing on 7/1 to get a total number of systems which were in SNC for the fiscal year. Note that the SNCs pulled on 1/1, and 4/1 and 7/1 will not double count systems which were on the BOY list – so if a PWS is in SNC for 3 quarters, it will only be counted once. This measure represents the number of systems which became SNCs during any part of the fiscal year.

⁵New SNCS are systems that have not been SNC for the prior two quarters.

⁶This measure will be pulled from SDWIS on 10/1.

⁷The SNC is resolved when either the SNC is addressed by a formal appropriate action or returns to compliance on its own.

FY2002 RECAP Measures: SNC Measures: SDWA					
Measure Code	Measure	New Reporting	Data Source	Database Fields	Reason for Measure
SNCSDW5	<p>1) Timely and Appropriate Measure⁸ data will be calculated <u>semi-annually</u>:</p> <p>a. calculate the number of new SNCs;</p> <p>b. calculate the number of facilities that are resolved within eight months of becoming a SNC;</p> <p>c. Calculate the percentage addressed (T & A) b/a.</p>	None	SDWIS	<p>a. SX, SE, SI, SD, SU, SW, EX, EU, EW, ED, EI, EE</p> <p>b. SE, EE + actions found in docket</p>	OECA Management

FY 2002/2003 RECAP Measures: Compliance Monitoring Measures: SDWA					
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
SDWAINV	<p>Total Number of Investigations</p> <p><i>Definition: a more complex assessment of a facility's compliance status than a compliance inspection (usually involving considerably more time and resources to complete).</i></p>	None	Manual		GPRA

⁸The T&A measure will be based on the fiscal year starting on 10/1.

FY 2002/2003 RECAP Measures: Compliance Monitoring Measures: SDWA					
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
SDWACC	Total Number of Citizen Complaints <i>Definition: any phone call or correspondence (letter or email) from individuals regarding violations of environmental laws and regulations which are received by or referred to the enforcement and compliance assurance program.</i>	None	Manual		GPRA
SDWAIN-1	# of EPA PWS Compliance Sanitary Surveys and Site Visits	None	Manual		OECA Management
SDWAIN-2	# of EPA UIC Inspections	None	Manual		OECA Management
FY2002/2003 RECAP Measures: Federal Enforcement Outcomes: SDWA					
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
Federal Enforcement Outcomes:					

SDWAEN OUT1	<p># of Physical and Nonphysical Complying Action types for SDWA cases.</p> <p><i>Definition: Changes that are made by the violator as a result of the enforcement action. Only physical actions result in a direct environmental benefit (e.g., use reduction) and should have a pollutant name and amount. Nonphysical actions should list pollutant name without amount (e.g., reporting, planning).</i></p>	None	ICIS	<p>Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</p>	GPRA
SDWAEN OUT2	<p># of people served by the drinking water system that are estimated receive cleaner water as a result of the injunctive relief/complying action components of the enforcement action.</p>	None	ICIS	<p>Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Report: Name of pollutant of concern and Amount: # of people served.</p>	GPRA
FY2002/2003 RECAP Measures: Federal Enforcement Outcomes: SDWA					

Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
Federal Enforcement Outcomes:					
SDAENOUT3	\$ Value of injunctive relief for physical and nonphysical actions	None	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.	OECA Management
SDWAENOUT4	Category of SEP	None	ICIS	Activity Add Enforcement Action Conclusion: SEP Screen.	OECA Management
SDWAENOUT5	\$ Value of SEP	None	ICIS	Activity Add Enforcement Action Conclusion: SEP Screen.	OECA Management

SDWAEN OUT6	SEP pollutant(s) and/or chemical(s)and/or waste streams and amount of reductions/eliminations/ treatment (e.g., emissions/ discharges), and quantify by pollutant, amount, unit of measure, and media.	None	ICIS	Activity Add Enforcement Action Conclusion: SEP Screen Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet .	OECA Management
FY2002/2003 RECAP Measures: Federal Enforcement Outcomes: SDWA					
Federal Enforcement Outcomes:					
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
SDWAEN OUT7	Penalty Information: a. dollar amount of final assessed penalty. b. if shared, Federal share. c. if shared, State or local share. d. for multi-media actions, Federal amounts by statute.	None	ICIS	Activity Add Enforcement Action Conclusion: Penalty/Cost Recovery Screen.	OECA Management

FY2002/2003 RECAP Measures: Enforcement Outputs: SDWA					
Federal Enforcement Outputs: Notices of Violation					
EONOVSD W	# of Federal NOVS in the SDWIS Program	None	SDWIS	EIA, EFJ	GPRA
EONVSD W1	# of State NOVS in the SDWIS Program	None	SDWIS	SIA, SFJ	GPRA
Federal Enforcement Outputs: Consent Decree Tracking					
EOCDSD W1	# of Active Consent Decrees (by media)	None	ICIS	Activity Enforcement Action Conclusion: Final Order Tracking.	OECA Management
EOCDSD W2	# of Active Consent Decrees in Compliance	None	ICIS	Activity Enforcement Action Conclusion: Final Order Tracking.	OECA Management
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
Federal Enforcement Outputs: Consent Decree Tracking					
EOCDSD W3	# of Active Consent Decrees in Violation where Formal Enforcement Action has Commenced	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management
EOCDSD W4	# of Active Consent Decrees in Violation with No Formal Enforcement Action	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking.	OECA Management

FY2002/2003 RECAP Measures: Enforcement Outputs: SDWA					
EOCSDSD W5	# of Active Consent Decrees for which Current Status is Unknown or not Reported	None	ICIS	Activity Add Enforcement Action Conclusion: Final Order Tracking and the current status flag is unknown or not reported.	OECA Management
Federal Enforcement Outputs: SDWA Civil Case Initiations					
EOCISDW 1	# of Civil Judicial Referrals	None	ICIS	Activity Add Enforcement Action.	GPRA
EOCISDW 2	# of Administrative Penalty Order Complaints	None	ICIS	Activity Add Enforcement Action.	GPRA
Measure Code	Measure	New Reporting	Data System	Database Fields	Reason for Measure
Federal Enforcement Outputs: SDWA Civil Case Conclusions					
EOCCSD W1	# of Civil Judicial Cases Concluded	None	ICIS	Activity Add Enforcement Action Conclusion Screen.	GPRA
EOCCSD W2	# of Compliance Orders Issued	None	ICIS	Activity Add Enforcement Action Conclusion Screen.	GPRA

FY2002/2003 RECAP Measures: Enforcement Outputs: SDWA					
EOCCSD W3	# of Final Administrative Penalty Orders Issued	None	ICIS	Activity Add Enforcement Action Conclusion Screen.	GPRA
State Enforcement Outputs: SDWA State Enforcement Actions					
EOSSDW1	# of state PWS administrative compliance or penalty orders issued	None	SDWIS	SFL, SFO	OECA Management
EOSSDW2	# of PWS <i>criminal or civil</i> cases referred to the state Attorney General	None	SDWIS	SF&, SF9	OECA Management